



14023 U.S. PTO

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PTO/SB/05 (08-03)  
Approved for use through 07/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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15364 U.S. PTO  
10/812049

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	008312-0309004
First Inventor	FUYUKI TAWADA
Title	See attached addendum
Express Mail Label No.	

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 36]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 4]
5. Oath or Declaration [Total Sheets 2]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
  - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
name in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ Paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☒ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: .....

Prior application information:

Examiner

Art Unit:

For CONTINUATION OF DIVISIONAL APPS only; The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number: 00909 OR ☐ Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Dale S. Lazar

Registration No. (Attorney/Agent)

28872

Signature

Date

03/30/04

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 810.00

## Complete if Known

Application Number UNKNOWN  
Filing Date March 30, 2004  
First Named Inventor FUYUKI TAWADA  
Examiner Name UNKNOWN  
Art Unit UNKNOWN  
Attorney Docket No. 008312-0309004

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number 033975  
Deposit Account Name PILLSBURY WINTHROP LLP

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 770	2001 385	Utility filing fee	770.00
1002 340	2002 170	Design filing fee	
1003 530	2003 265	Plant filing fee	
1004 770	2004 385	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1) (\$ 770.00			

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims 13 -20\*\* = 0 X Fee from below = 0  
Independent Claims 2 -3\*\* = 0 X Fee Paid = 0  
Multiple Dependent

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 86	2201 43	Independent claims in excess of 3
1203 290	2203 145	Multiple dependent claim, if not paid
1204 86	2204 43	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 0.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	1052 50	2052 25	Surcharge - late filing fee or oath	
1053 130	1053 130	1812 2,520	1812 2,520	Surcharge - late provisional filing fee or cover sheet	
1804 920	1804 920	1805 1,840	1805 1,840	Non-English specification	
1805 1,840	1805 1,840	1805 1,840	1805 1,840	For filing a request for ex parte reexamination	
1251 110	2251 55	1401 330	2401 165	Requesting publication of SIR prior to Examiner action	
1252 420	2252 210	1402 330	2402 165	Requesting publication of SIR after Examiner action	
1253 950	2253 475	1403 290	2403 145	Extension for reply within first month	
1254 1,480	2254 740	1451 1,510	2451 1,510	Extension for reply within second month	
1255 2,010	2255 1,005	1452 110	2452 55	Extension for reply within third month	
1401 330	2401 165	1453 1,330	2453 665	Extension for reply within fourth month	
1402 330	2402 165	1501 1,330	2501 665	Extension for reply within fifth month	
1403 290	2403 145	1502 480	2502 240	Notice of Appeal	
1451 1,510	2451 1,510	1503 640	2503 320	Filing brief in support of an appeal	
1452 110	2452 55	1460 130	2460 130	Request for oral hearing	
1453 1,330	2453 665	1807 50	2807 50	Petition to institute a public use proceeding	
1501 1,330	2501 665	1808 180	2808 180	Petition to revive - unavoidable	
1502 480	2502 240	8021 40	8021 40	Petition to revive - unintentional	
1503 640	2503 320	1809 770	2809 385	Utility issue fee (or reissue)	
1460 130	2460 130	1810 770	2810 385	Design issue fee	
1807 50	2807 50	1801 770	2801 385	Plant issue fee	
1808 180	2808 180	1802 900	2802 900	Petitions to the Commissioner	
8021 40	8021 40	Other fee (specify)		Processing fee under 37 CFR 1.17(q)	
1809 770	2809 385	*Reduced by Basic Filing Fee Paid		Submission of Information Disclosure Stmt	
1810 770	2810 385	SUBTOTAL (3) (\$ 40.00		Recording each patent assignment per property (times number of properties)	40.00
1801 770	2801 385			Filing a submission after final rejection (37 CFR 1.129(a))	
1802 900	2802 900			For each additional invention to be examined (37 CFR 1.129(b))	
				Request for Continued Examination (RCE)	
				Request for expedited examination of a design application	

## SUBMITTED BY

Name (Print/Type) Dale S. Lazar Registration No. (Attorney/Agent) 28872 Telephone (703) 905-2126  
Signature Date March 30, 2004

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## Addendum

### Invention Title

**DISK STORAGE APPARATUS CAPABLE OF CONCURRENTLY PROCESSING  
DATA STREAMS**